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The RTRS official languages are English, Spanish and Portuguese, however in case of any inconsistency between different versions of the same document, please refer to the English version as the official one.

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Preamble

Development of this Document: The Roundtable on Responsible Soy Standard for Responsible Soy Production, version 1.0 (RTRS Standard) is the result of a multi-stakeholder development process, which involved representatives from the three RTRS membership constituencies, and included several public consultation periods.

A two year multi-stakeholder process lead to the publication of the RTRS Principles and Criteria for Responsible Soy Production: Field Testing Version, in May 2009. This version was used by National Technical Groups (NTGs) in five countries to initiate national interpretation processes, and by producers and auditors for field trials carried out in a variety of soy producing countries.

In March 2010 the RTRS convened an International Technical Group (ITG) to review the Field Trial principles and criteria and produce a set of auditable Principles and Criteria for use with a certification scheme. As a part of their work the multi-stakeholder group reviewed and took into account changes proposed by NTGs, public consultation comments on draft National Interpretations, guidance from the RTRS Executive Board on the issue of land clearance and feedback from field trials and diagnosis audits. This group, made up of representatives from the three RTRS member constituencies, concluded their work at a meeting in São Paulo, Brazil, 24-27 March, 2010

Review: The standard will be reviewed not less than once every five years and not more than once every three years unless exceptions are identified or unless the RTRS Executive Board or General Assembly determines otherwise. In Version 1.0 of this standard, one criterion (criterion 4.4) needs to be reviewed within 2 years.

National Interpretation: Each soy-producing country is encouraged to make a national interpretation of the standard which, once endorsed by the RTRS, will become the basis for certification in that country. National interpretation processes are required to meet the RTRS requirements for national interpretation related to process and content. When considering how to interpret this standard for national use, the Guidance for National Interpretation (Annex 6) must be followed. Groups carrying out national interpretation may not create requirements which are less stringent than the International RTRS Standard.

Scope of application: This standard applies to all kinds of soybeans, including conventionally grown, organic, and genetically modified (GM). It has been designed to be used for all scales of soy production and all the countries where soy is produced.

Transparency: This standard has been designed to be used within a voluntary certification system. All those seeking certification should do so with a commitment to transparency with respect to the requirements of this standard, including a spirit of constructive engagement with stakeholders and sharing of non-commercially sensitive information. A publicly-available summary of information about the performance of each certified organization with respect to each criterion will be produced. This will not contain commercially-sensitive information.

Monitoring: Where indicators require monitoring to be undertaken, a baseline should be established at the time of certification with monitoring and review of trends over time. Producers are expected to commit to a process of continual improvement. For group certification, monitoring at the group level should be used where appropriate.

Principle 1: Legal Compliance and Good Business Practice

1.1 There is awareness of, and compliance with, all applicable local and national legislation.

Note: For group certification of small farms - group managers should provide training for group members on applicable laws and legal compliance.

- 1.1.1 Awareness of responsibilities, according to applicable laws can be demonstrated.
- 1.1.2 Applicable laws are being complied with.

1.2 Legal use rights to the land are clearly defined and demonstrable.

Note: Land use rights of traditional land users are considered in Criterion 3.2 which should be cross-referenced with this criterion.

- 1.2.1 There is documented evidence of rights to use the land (e.g. ownership document, rental agreement, court order etc.).

1.3 There is continual improvement with respect to the requirements of this standard.

Note: For group certification - continual improvement should be recorded and monitored at the group level.

- 1.3.1 A review process is carried out which identifies those social, environmental and agricultural aspects of the operation (on and off farm) where improvement is desirable.

Note: The producer is expected to be aware of the social and environmental context in which he/she is operating and the existing and possible future impacts of the operation.

- 1.3.2 A number of indicators are selected and a baseline is established to be able to monitor continual improvement on those aspects where desired improvements have been identified.

Note: Producers are free to choose the continual improvement indicators that are relevant to them to demonstrate continual improvement with respect to the requirements of this standard; e.g. Soil carbon content, use of agrochemicals, state of riparian vegetation etc. The baseline year is the year of first certification assessment.

- 1.3.3 The results of monitoring are reviewed and appropriate action is planned and taken when necessary to ensure continual improvement.

Principle 2: Responsible Labor Conditions

Note 1: The requirements of Principle 2 apply to both direct employees and to workers supplied by third parties.

Note 2: The principle applies also to migrant, seasonal and other contract labor.

2.1 Child labor, forced labor, discrimination and harassment are not engaged in or supported.

- 2.1.1 No forced, compulsory, bonded, trafficked or otherwise involuntary labor is used at any stage of production.
- 2.1.2 No workers of any type are required to lodge their identity papers with anyone and no part of their salary, benefits or property is retained, by the owner or any 3rd party, unless permitted by law.

- 2.1.3 Spouses and children of contracted workers are not obliged to work on the farm.
- 2.1.4 Children and minors (below 18) do not conduct hazardous work or any work that jeopardizes their physical, mental or moral well being.
- 2.1.5 Children under 15 (or higher age as established in national law) do not carry out productive work. They may accompany their family to the field as long as they are not exposed to hazardous, unsafe or unhealthy situations and it does not interfere with their schooling
- 2.1.6 There is no engagement in, support for, or tolerance of any form of discrimination.
- 2.1.7 All workers receive equal remuneration for work of equal value, equal access to training and benefits and equal opportunities for promotion and for filling all available positions.
- 2.1.8 Workers are not subject to corporal punishment, mental or physical oppression or coercion, verbal or physical abuse, sexual harassment or any other kind of intimidation.

2.2 Workers, directly and indirectly employed on the farm, and sharecroppers, are adequately informed and trained for their tasks and are aware of their rights and duties.

- 2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written contract, in a language that they can understand.

Note: The requirements of indicator 2.2.1 are recommended in all cases. However, for small farms where there are high illiteracy rates group managers may implement alternative mechanisms to make collectively known and verify valid working relationships.

- 2.2.2 Labor laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g. working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc.) are available in the languages understood by the workers or explained carefully to them by a manager or supervisor.
- 2.2.3 Adequate and appropriate training and comprehensible instructions on fundamental rights at work, health and safety and any necessary guidance or supervision are provided to all workers.

2.3 A safe and healthy workplace is provided for all workers.

- 2.3.1 Producers and their employees demonstrate an awareness and understanding of health and safety matters.
- 2.3.2 Relevant health and safety risks are identified, procedures are developed to address these risks by employers, and these are monitored.
- 2.3.3 Potentially hazardous tasks are only carried out by capable and competent people who do not face specific health risks.
- 2.3.4 Adequate and appropriate protective equipment and clothing is provided and used in all potentially hazardous operations such as pesticide handling and application and mechanized or manual operations.
- 2.3.5 There is a system of warnings followed by legally-permitted sanctions for workers that do not apply safety requirements.
- 2.3.6 Accident and emergency procedures exist and instructions are clearly understood by all workers.

2.3.7 In case of accidents or illness, access to first aid and medical assistance is provided without delay.

2.4 There is freedom of association and the right to collective bargaining for all workers.

2.4.1 There is the right for all workers and sharecroppers to establish and/or join an organization of their choice.

2.4.2 The effective functioning of such organizations is not impeded. Representatives are not subject to discrimination and have access to their members in the workplace on request.

2.4.3 All workers have the right to perform collective bargaining.

2.4.4 Workers are not hindered from interacting with external parties outside working hours (e.g. NGOs, trade unions, labor inspectors, agricultural extension workers, certification bodies).

2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed on the farm.

2.5.1 Gross wages that comply with national legislation and sector agreements are paid at least monthly to workers.

2.5.2 Deductions from wages for disciplinary purposes are not made, unless legally permitted. Wages and benefits are detailed and clear to workers, and workers are paid in a manner convenient to them. Wages paid are recorded by the employer.

2.5.3 Normal weekly working hours do not exceed 48 hours. Weekly overtime hours do not exceed 12 hours.

2.5.4 If additional overtime hours are necessary the following conditions are met:

- a) It only occurs for limited periods of time (eg. peak harvest, planting).
- b) Where there is a trade union or representative organization the overtime conditions are negotiated and agreed with that organization.
- c) Where there is no trade union or representative organization agreement the average working hours in the two-month period after the start of the exceptional period still do not exceed 60 hours per week.

2.5.5 Working hours per worker are recorded by the employer.

2.5.6 Overtime work at all times is voluntary and paid according to legal or sector standards. In case overtime work is needed, workers receive timely notification. Workers are entitled to at least one day off following every six consecutive days of work.

2.5.7 Salaried workers have all entitlements and protection in national law and practice with respect to maternity. Workers taking maternity leave are entitled to return to their employment on the same terms and conditions that applied to them prior to taking leave and they are not subject to any discrimination, loss of seniority or deductions of wages.

2.5.8 If workers are paid per result, a normal 8 hour working day allows workers, (men and women), to earn at least the national or sector established minimum wage.

2.5.9 If employees live on the farm, they have access to affordable and adequate housing, food and potable water. If charges are made for these, such charges

are in accordance with market conditions. The living quarters are safe and have at least basic sanitation.

Principle 3: Responsible Community Relations

3.1 Channels are available for communication and dialogue with the local community on topics related to the activities of the soy farming operation and its impacts.

3.1.1 Documented evidence of communication channels and dialogue is available.

3.1.2 The channels adequately enable communication between the producer and the community.

3.1.3 The communication channels have been made known to the local communities.

3.2 In areas with traditional land users, conflicting land uses are avoided or resolved.

3.2.1 In the case of disputed use rights, a comprehensive, participatory and documented community rights assessment is carried out.

3.2.2 Where rights have been relinquished by traditional land users there is documented evidence that the affected communities are compensated subject to their free, prior, informed and documented consent.

3.3 A mechanism for resolving complaints and grievances is implemented and available to local communities and traditional land users.

Note: For group certification - the complaints and grievances mechanism can be managed by the group manager and records of complaints and grievances can be maintained at the group level.

3.3.1 The complaints and grievances mechanism has been made known and is accessible to the communities.

3.3.2 Documented evidence of complaints and grievances received is maintained.

3.3.3 Any complaints and grievances received are dealt with in a timely manner.

3.4 Fair opportunities for employment and provision of goods and services are given to the local population.

3.4.1 Employment opportunities are made known locally.

Note: Not applicable for small farms.

3.4.2 There is collaboration with training programs for the local population.

Note: Small farms may participate in training programs where they exist. For groups the collaboration with training programs may occur at the group level.

3.4.3 Opportunities for supply of goods and services are offered to the local population.

Note: Not applicable for small farms.

Principle 4: Environmental Responsibility

4.1 On and off site social and environmental impacts of large or high risk new infrastructure have been assessed and appropriate measures taken to minimize and mitigate any negative impacts.

Note: For group certification – this also applies to large new infrastructure projects developed by the entity holding the group certificate, where the infrastructure is used by certified group members or the certified soy they produce.

- 4.1.1 A social and environmental assessment is carried out prior to the establishment of large or high risk new infrastructure.
- 4.1.2 The assessment is carried out by someone who is adequately trained and experienced for this task.
- 4.1.3 The assessment is carried out in a comprehensive and transparent manner.
- 4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are documented and are being implemented.

4.2 Pollution is minimized and production waste is managed responsibly.

Note: Chemical use and disposal is dealt with under Principle 5.

- 4.2.1 There is no burning on any part of the property of crop residues, waste, or as part of vegetation clearance, except under one of the following conditions:
 - a) Where there is a legal obligation to burn as a sanitary measure;
 - b) Where it is used for generation of energy including charcoal production and for drying crops;
 - c) Where only small-caliber residual vegetation from land clearing remains after all useable material has been removed for other uses.
- 4.2.2 There is adequate storage and disposal of fuel, batteries, tires, lubricants, sewage and other waste.
- 4.2.3 There are facilities to prevent spills of oil¹ and other pollutants.
- 4.2.4 Re-use and recycling are utilized wherever possible.
- 4.2.5 There is a residue management plan including all areas of the property.

4.3 Efforts are made to reduce emissions and increase sequestration of Greenhouse Gases (GHGs) on the farm.

Note: Other issues which are relevant to GHG emissions are covered in other principles including: Use of fertilizers (Criterion 5.5), Land-use change (Criterion 4.4).

- 4.3.1 Total direct fossil fuel use over time is recorded, and its volume per hectare and per unit of product for all activities related to soy production is monitored.
- 4.3.2 If there is an increase in the intensity of fossil fuel used, there is a justification for this. If no justification is available there is an action plan to reduce use.
- 4.3.3 Soil organic matter is monitored to quantify change in soil carbon and steps are taken to mitigate negative trends.

Note: For group certification of small farms - the monitoring of soil carbon can be done using samples.

- 4.3.4 Opportunities for increasing carbon sequestration through restoration of native vegetation, forest plantations and other means are identified.

4.4 Expansion of soy cultivation is responsible.

Note: This criterion will be revised after June 2012 if RTRS-approved maps and system are not available.

¹ Oil refers to motor oil

4.4.1 After May 2009 expansion for soy cultivation has not taken place on land cleared of native habitat except under the following conditions:

4.4.1.1 It is in line with an RTRS-approved map and system (see Annex 4.)

or

4.4.1.2 Where no RTRS-approved map and system is available:

a) Any area already cleared for agriculture or pasture before May 2009 and used for agriculture or pasture within the past 12 years can be used for soy expansion, unless regenerated vegetation has reached the definition of native forest (see glossary).

b) There is no expansion in native forests (see glossary)

c) In areas that are not native forest (see glossary), expansion into native habitat only occurs according to one of the following two options:

Option 1. Official land-use maps such as ecological-economic zoning are used and expansion only occurs in areas designated for expansion by the zoning. If there are no official land use maps then maps produced by the government under the Convention on Biological Diversity (CBD) are used, and expansion only occurs outside priority areas for conservation shown on these maps.

Option 2. An High Conservation Value Area (HCVA) assessment is undertaken prior to clearing and there is no conversion of High Conservation Value Areas.

Note: Where neither official land use maps nor CBD maps exist, Option 2 must be followed.

4.4.2 There is no conversion of land where there is an unresolved land use claim by traditional land users under litigation, without the agreement of both parties.

4.5 On-farm biodiversity is maintained and safeguarded through the preservation of native vegetation.

4.5.1 There is a map of the farm which shows the native vegetation.

4.5.2 There is a plan, which is being implemented, to ensure that the native vegetation is being maintained (except areas covered under Criterion 4.4)

4.5.3 No hunting of rare, threatened or endangered species takes place on the property.

Principle 5: Good Agricultural Practice

5.1 The quality and supply of surface and ground water is maintained or improved.

5.1.1 Good agricultural practices are implemented to minimize diffuse and localized impacts on surface and ground water quality from chemical residues, fertilizers, erosion or other sources and to promote aquifer recharge.

5.1.2 There is monitoring, appropriate to scale, to demonstrate that the practices are effective.

5.1.3 Any direct evidence of localized contamination of ground or surface water is reported to, and monitored in collaboration with local authorities.

5.1.4 Where irrigation is used, there is a documented procedure in place for applying best practices and acting according to legislation and best practice guidance (where this exists), and for measurement of water utilization.

Note: For group certification of small farms - Where irrigation is used for crops other than soy but is not done according to best practice, a plan is in place and is being implemented to improve practices. The group manager is responsible for documentation.

5.2 Natural vegetation areas around springs and along natural watercourses are maintained or re-established.

- 5.2.1 The location of all watercourses has been identified and mapped, including the status of the riparian vegetation.
- 5.2.2 Where natural vegetation in riparian areas has been removed there is a plan with a timetable for restoration which is being implemented.
- 5.2.3 Natural wetlands are not drained and native vegetation is maintained.

5.3 Soil quality is maintained or improved and erosion is avoided by good management practices.

- 5.3.1 Knowledge of techniques to maintain soil quality (physical, chemical and biological) is demonstrated and these techniques are implemented.
- 5.3.2 Knowledge of techniques to control soil erosion is demonstrated and these techniques are implemented.
- 5.3.3 Appropriate monitoring, including soil organic matter content, is in place.

Note: For group certification - Monitoring of soil fertility and soil quality should be part of the internal control system and can be carried out on a sampling basis within the group.

5.4 Negative environmental and health impacts of phytosanitary products are reduced by implementation of systematic, recognized Integrated Crop Management (ICM) techniques.

Note: See Annex 5 for further information on ICM.

- 5.4.1 A plan for ICM is documented and implemented which addresses the use of prevention, and biological and other non-chemical or selective chemical controls.

Note: For group certification of small farms - (particularly those who are not literate) the development and documentation of the ICM plan should be undertaken by the group manager, together with support for implementation.

- 5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.
- 5.4.3 Use of phytosanitary products follows legal requirements and professional recommendations (or, if professional recommendations are not available, manufacturer's recommendations) and includes rotation of active ingredients to prevent resistance.
- 5.4.4 Records of monitoring of pests, diseases, weeds and natural predators are maintained.

5.5 All application of agrochemicals² is documented and all handling, storage, collection and disposal of chemical waste and empty containers, is monitored to ensure compliance with good practice.

- 5.5.1 There are records of the use of agrochemicals, including:

² Note: Agrochemicals refers to all chemicals used including fertilizers and pesticides

- a) products purchased and applied, quantity and dates;
 - b) identification of the area where the application was made;
 - c) names of the persons that carried out the preparation of the products and field application;
 - d) identification of the application equipment used;
 - e) weather conditions during application.
- 5.5.2 Containers are properly stored, washed and disposed of; waste and residual agrochemicals are disposed in an environmentally appropriate way.
- 5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.
- 5.5.4 The necessary precautions are taken to avoid people entering into recently sprayed areas.
- 5.5.5 Fertilizers are used in accordance with professional recommendations (provided by manufacturers where other professional recommendations are not available).

5.6 Agrochemicals listed in the Stockholm and Rotterdam Conventions are not used.

- 5.6.1 There is no use of agrochemicals listed in the Stockholm and Rotterdam Conventions.
- 5.6.2 The use of Paraquat and Carbofuran is eliminated by June 2017.
- 5.6.3 During this phasing out period the use of Carbofuran and Paraquat should be controlled, if possible reduced according an Integrated Crop Management (ICM) plan developed by the producer, which explains under what specific circumstances the use of Paraquat and Carbofuran is allowed.
- Note for 5.6.2: In the Case of Paraquat, the deadline for the prohibition for its use by June 2017 could be extended by the RTRS if enough evidence is put forward before June 2016 to demonstrate that at the time there are still no alternatives in the market (globally or locally), that can substitute it with less environmental and human risks and with similar costs.

5.7 The use of biological control agents is documented, monitored and controlled in accordance with national laws and internationally accepted scientific protocols.

- 5.7.1 There is information about requirements for use of biological control agents.
- 5.7.2 Records are kept of all use of biological control agents that demonstrate compliance with national laws.

5.8 Systematic measures are planned and implemented to monitor, control and minimize the spread of invasive introduced species and new pests.

- 5.8.1 Where there are institutional systems in place to identify and monitor invasive introduced species and new pests, or major outbreaks of existing pests, producers follow the requirements of these systems, to minimize their spread.
- 5.8.2 Where such systems do not exist, incidences of new pests or invasive species and major outbreaks of existing pests are communicated to the proper authorities and relevant producer organizations or research organizations.

Note: For group certification - the group manager is responsible for communicating to the authorities and relevant organizations.

5.9 Appropriate measures are implemented to prevent the drift of agrochemicals to neighboring areas.

5.9.1 There are documented procedures in place that specify good agricultural practices, including minimization of drift, in applying agrochemicals and these procedures are being implemented.

5.9.2 Records of weather conditions (wind speed and direction, temperature and relative humidity) during spraying operations are maintained.

5.9.3 Aerial application of pesticides is carried out in such a way that it does not have an impact on populated areas. All aerial application is preceded by advance notification to residents within 500m of the planned application.

Note: 'Populated areas' means any occupied house, office or other building.

5.9.4 There is no aerial application of pesticides in WHO Class Ia, Ib and II within 500m of populated areas or water bodies.

5.9.5 There is no application of pesticides within 30m of any populated areas or water bodies.

Note: 'Water bodies' includes, but is not limited to, water courses, rivers, streams, lagoons, springs, lakes, reservoirs and ditches.

5.10 Appropriate measures are implemented to allow for coexistence of different production systems.

5.10.1 Measures are taken to prevent interference in production systems of neighboring areas.

5.11 Origin of seeds is controlled to improve production and prevent introduction of new diseases.

5.11.1 All purchased seed must come from known legal quality sources.

5.11.2 Self-propagated seeds may be used, provided appropriate seed production norms are followed and legal requirements regarding intellectual property rights are met.

Annex 1: Guidance

The guidance contained in this annex must be followed by all users of the standard, including:

- i) auditors, evaluating compliance against the RTRS Standard for Responsible Soy Production Version 1.0
- ii) soy growers using the RTRS Standard for Responsible Soy Production Version 1.0 to implement good practice, and achieve certification.
- iii) Group managers using the RTRS Standard for Responsible Soy Production Version 1.0 to achieve certification of a group of soy growers.

Criterion	Guidance
1.1	<p>Producers need to have access to information which enables them to know what the law requires them to do. Examples include having a register of laws, or access to relevant advice on legislation.</p> <p>Legal compliance should be verified through:</p> <ul style="list-style-type: none"> • checking publicly available data on compliance where available; • interviews with staff and stakeholders; and • field observations
1.2	<p>Additional Guidance for indicator 1.2.1</p> <p>Producer has presented document evidence to approve the right of land use, e.g.:</p> <ol style="list-style-type: none"> 1) Land contract 2) Land subcontract 3) Land usufruct certificate <p>Applicable Laws: “Land Law of the People’s Republic of China”, “Law of the People’s Republic of China on Land Administration”, “Contract Law of the People’s Republic of China”, “Law of the People’s Republic of China on Contracting of Rural Land”, “Administration Regulation on Transferring Contracted Rural Land”, “Implementation Regulation on Law of the People’s Republic of China on Land Administration” and “Administration of the People’s Republic of China on Certificate of Rural Land Usufruct”.</p> <p>In cases where legal disputes regarding land tenure exist, it is regulated in the article 16 of “Law of People’s Republic of China on Land Administration” that “Disputes on land ownership or usufruct shall be first negotiated among stakeholders. If the disputes cannot be solved between the affected stakeholders, they can go and request a mediation to the “People’s Government.”</p> <p>Guidance: In cases where exist a legal process for resolving land tenure and use rights, a certification audit and the issue of the certificate of the affected land is not allowed until the dispute is solved.</p>
1.3	<p>It is recognized that sometimes there may not be improvement for specific continual improvement indicators due to circumstances beyond the control of the certificate holder.</p> <p>Guidance for indicator 1.3.2: According to the scale of the operations,</p>

Criterion	Guidance
	producers need to develop an action plan, which has to be in line with RTRS Standard including soil monitoring, pesticide application, among others. Annex 7 provides a list with few suggested indicators to be considered in this action plan.
2	<p>In relation to compliance of these requirements by third parties (Note 1): Operations are expected to have a mechanism in place which enables them to adequately verify the compliance of their service providers.</p> <p>Auditors should evaluate the verification mechanism of the operations, to determine whether a sample of service providers should also be assessed by the auditors.</p>
2.1	<p>Additional Guidance for all the criterion: The general information of all employees need be recorded accurately in writing, including migrant, seasonal workers and subcontractors. This information shall include at least the following requirements: name, registration date, age, length of employment, normal working hours, overtime requirements,</p> <p>2.1.1-2.1.3 Personnel should be free to leave their work place after their hours of work have been completed, and be free to terminate their employment provided that they give reasonable notice.</p> <p>2.1.1-2.1.3 Reference: ILO Convention 29 on Forced Labor and 105 on Abolition of Forced Labor.</p> <p>2.1.4-2.1.5 Children and minors (below 18) do not work in dangerous locations, in unhealthy situations, at night, or with dangerous substances or equipment, nor do they carry heavy loads. They are not exposed to any form of abuse and there is no evidence of trafficked, bonded or forced labor.</p> <p>2.1.5 Any organization or individuals are forbidden to hire adolescent less than 16 years old. Any organization or individuals, who recruit adolescents aged between 16 and 18 in accordance with relevant regulations, should adhere to provisions on work types, working hours, working intensity, protection measures for adolescents' minds and health as considered in "guide 2.1.4 – 2.1.5" above and the "Article 36, Chapter 4, Law of People's Republic of China on Protection of Adolescents". 2.1.4 – 2.1.5 Children need to be well-trained before taking any activities, or guidance with adults.</p> <p>Guidance for all the criterion: Parents or legal guardian of school-aged children or juveniles should guarantee the adolescents to receive and finish their compulsory education in due time in accordance with laws (Article 5, Chapter I, Law of the People's Republic of China on Compulsory Education).</p> <p>2.1.4-2.1.5 Reference: ILO Convention 138 on Minimum Age and 182 on Worst Forms of Child Labor.</p> <p>2.1.6-2.1.7 Discrimination includes, but is not limited to: any distinction, exclusion, restriction or preference based on race, color, social class, nationality, religion, disability, sex, sexual orientation, pregnancy, HIV status, union membership or political association, with the purpose or effect of annulling, affecting or prejudicing the recognition, fruition or equal exercise of rights or liberties at work, be it in the process of contracting, remuneration, access to training, promotion, lay-offs or retirement.</p> <p>Divergence in salary is not considered discriminatory when the company has a policy, which is fully known to the employees, which specifies different pay scales for different levels of qualifications, length of experience etc.</p> <p>2.1.6-2.1.7 Reference: ILO convention 100 on Equal Remuneration, and ILO</p>

Criterion	Guidance
	Convention 111 on Discrimination.
2.2	<p><i>‘Workers indirectly employed on the farm’</i> refers here to employees of service providers who carry out “services directly related to the production process”. (See Glossary)</p> <p>Guidance for producers: For big producers, a manager needs to be appointed in the farm. This manager will be the responsible person for issues as, workers health, security, social welfare and he/she will be also the responsible for the regular communication with workers.</p> <p>Additional Guidance for indicator 2.2.1 “Labor relationship is established the day employers hire an employee.” “A written contract shall be signed once the labor relationship is established.” According to the Chapter II: Article 7 &10 under Law of the People’s Republic of China on Labor Contract</p> <p>Exception: For seasonal or temporary short-term workers (less than 30 days), it is possible to make an oral agreement. Oral agreement is applicable to both temporary labor work relationship and seasonal labors for less than 30 days according to Article 68,69,70,71 & 72 under Law of the People’s Republic of China on Labor Contract). (See applicable guidance for 2.1)</p>
2.3	<p>References: ILO convention 155 on Occupational Safety and Health; ILO Convention 184 on Safety and Health in Agriculture; ILO Recommendation 192 on Safety and Health in Agriculture.</p> <p>The means of verification used should be appropriate to the size and scale of the operation. E.g. (2.3.1) For operations with permanent employees there should be a documented health and safety policy. For small farms this can be demonstrated through verbal explanations.</p> <p>The Producer is required to record the accidents at farm level, in case of group certification this can be done at group level.</p> <p>2.3.6 Accident and emergency procedures should include taking immediate steps to stop any operation where there is an imminent and serious danger to safety and health, and to evacuate as appropriate.</p>
2.4	<p>In the case of large producers need to refer to: 2.4.1 Reference: ILO Convention 87 on Freedom of Association and Protection of the Right to Organize. 2.4.3 Reference: ILO Convention 98 on Right to Organize and Collective Bargaining.</p> <p>“Trade Unions” exist in China and they are defined as a voluntary mass organization of the working class according to the “Trade Union Law of the People’s Republic of China” Chapter I, Article 2</p> <p>Another form of association in China are “Farmer Cooperatives” which are mutual-help economic organizations, based on the Household Contract Responsibility System, joined voluntarily and managed democratically by members producing and dealing the same kind of farm products or by members providing or utilizing services for the same kind of agricultural production and operation (refer please to the “Law of the People’s Republic of China on Specialized Farmers Cooperatives” Chapter I, Article 2).</p>

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2.5	<p><i>‘Workers indirectly employed on the farm’</i> refers here to employees of service providers who carry out services directly related to the production process. (See glossary).</p> <p>2.5.5 and 2.5.6 Reference: ILO Convention 1 on Hours of Work.</p> <p>2.5.6 - The payment need to be aligned with China Labor Law, directive number 48 “ The employer shall pay workers’ wages no lower than the local minimum wage standard”</p> <p>The auditor needs to check if the calculation of payment is referring to regional / local government guidance on minimum wages.</p> <p>“Standard Minimum Wage” refers to the minimum wage or payment that employers shall pay, on the precondition that employees have fulfilled “their normal work” during legal working days or contracted working days (Article 3, Provision on Minimum Salary).</p>
3.1	<p>Communication channels need to use local languages and appropriate mediums (eg. the internet is not an appropriate mechanism for communication with communities that have no access to the internet).</p> <p>The communication requirements must be adequate to identify any disputes with traditional land users as referred to in Criterion 3.2</p> <p>Where people on or adjacent to the property are demonstrated to be illegal (for example illegal squatters), producers should try to engage in communication, but they are not obliged to maintain a dialogue.</p> <p>Local communities may be represented by legitimate representatives in communication or negotiation or in audit situations. Where this is the case, this does not exempt the producer or the auditor from the responsibility of communicating with other members of the community, especially groups such as the poor, illiterate, youth, women or indigenous groups.</p> <p>In the case of small farms documented evidence is not required and is substituted by verbal evidence.</p> <p>It is important to include interviews with members of the community to evaluate the existence of the communication channels and their appropriateness.</p>
3.2	<p>When applying for certification the producer will identify traditional land users. Traditional land users will provide reasonable proof that they have been exercising use or access rights on the area of the property over the 10 years prior to May 2009 (the ‘cut-off date’) . In the case of traditional indigenous communities, articles 14-18 of ILO convention 169 also apply.</p> <p>Traditional land users may be represented by legitimate representatives in communication, negotiation or audit situations. Where this is the case, this does not exempt the producer or the auditor from the responsibility of communicating with other members of the community.</p> <p>3.2.1 The community rights assessment should aim to:</p> <ul style="list-style-type: none"> a) identify the individual and collective uses and rights of traditional land users; and b) identify the places and landscape conditions needed to satisfy these rights. c) identify the places/issues where there is conflict between the property rights and the traditional land use rights

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	<p>d) reach a solution to resolve possible conflicting land uses and/or agree proposals for compensation.</p> <p>Where a legal judgment has been reached the terms of this judgment will be respected. If there is litigation in process, while this is <i>sub judice</i> (under litigation; decision pending) this will not prejudice access to certification provided that guidance provided by the judge is followed. In the absence of such guidance, the traditional land user can continue to exercise the claimed rights until the case is resolved.</p>
3.3	<p>Guide for auditors: Interviews with members of local communities and their representatives are important in verifying compliance with this criterion.</p> <p>See definition of “timely manner” in the glossary.</p> <p>For group of small holders, records of the grievances or doubts shall be also maintained.</p>
3.4	<p>3.4.1 Evidence may include records kept of the proportion of local employees</p> <p>3.4.3 This refers to goods and services which are central to the production activities.</p> <p>3.4.3 Evidence includes quotations for services from local suppliers.</p>
4.1	<p>The environmental assessment should be applied to large or high risk new infrastructure (see glossary):</p> <ol style="list-style-type: none"> 1) When there are legal existing national requirements for impact assessment, these need to be followed. 2) Where there are not, the producers: <ol style="list-style-type: none"> 2.1. Need to consult with Regional/ Local Environmental Protection Bureau for environmental assessment. 2.2. Develop a workable plan that includes the requirements of the assessment and methodology and the assessment needs to be undertaken by a certified expert by local government with adequate training. <p>Guide for Auditors: they need to check the plan developed or refer to report conducted by local government agencies, when applies.</p> <p>According to national regulation, Impact assessments shall be done on both planning phase and construction phase (Chapter II and Chapter III, Law of the People’s Republic of China on Environment Influence Assessment).</p> <p>a) On planning phase: Assessment shall be done by relevant department of State Council, local People’s government above municipal levels where there are different districts, and other relevant departments (Article 7&8, Chapter II, Law of the People’s Republic of China on Environment Influence Assessment).</p> <p>b) On the construction phase: Assessors shall be accredited with a qualification license by the administrative superintending environment protection department of state council, providing environmental assessment services in accordance with prescribed classification and assessment scope by license (Chapter III, Article 19, Law of the People’s Republic of China on Environment Influence Assessment).</p> <p>Relevant applicable Laws: 1. Agricultural Law of People’s Republic of China 2. Law of People’s Republic of China on Environment Protection 3. Law of People’s Republic of China on Air Pollution 4. Law of People’s Republic of China on Water Pollution 5. Law of People’s Republic of China on Wildlife Protection.</p>

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4.2	<p>4.2.4 The producers need to design a waste disposal documented plan.</p> <p>4.2.5 This documented plan is mandatory for big and medium size producers (see glossary), and should include at least a classification of types of residues, quantity, destination and disposal or recycling method.</p> <p>In the case of small farmers (see glossary) they need to understand what residues are produced, and what has to be done. The waste management plan can be developed at group level.</p>
4.3	<p>On farms which produce multiple crops an estimate of the use of fossil fuel for soy production should be calculated.</p> <p>‘Activities related to soy production’ include: field operations and on-farm transport, whether this is done by the producer or by third parties (see also glossary).</p> <p>An example of a justification for an increase in the intensity of fossil fuel use may be if a planting was lost due to drought and had to be replanted.</p> <p>The use of renewable energy (biofuels, biogas, solar and wind energy etc) on the farm is encouraged. In the case of renewable energy replacing electricity, quantify the equivalent fossil fuel saving.</p> <p>4.3.1 Producers should record the hours of machine usage and fuel consumption on the farm. This would apply for both large producers and small holders.</p> <p>Where operations by machine on a farm is outsourced, the farmers need to keep records of the fuel consumption in the outsourced activities.</p> <p>4.3.2 There may be annual fluctuations in the intensity of fossil fuel use, due to natural yield variations. The trend should be monitored over a period of several years.</p> <p>Guide for 4.3.3: Producers could record the soil quality annually through soil tests, which could be done under the government “Integrated Soil Test and Fertilizer Application Program”.</p> <p>For small producers: they could carry out the tests through the local extension support center.</p>
4.4	<p>Guidance for all the criterion</p> <p>There is no forest conversion for agricultural practice in China in general, under national Natural Forest Protection Program (NFPP) of China (last update September 2013).</p> <p>4.4.1.2 c) Options 1 and 2 only apply for areas which are not native forest (as stated in 4.4.1.2 b and c). Therefore native forest cannot be deforested even if an official land use map (Option 1) permits this.</p> <p>4.4.1.2 c) Option 1: Maps used for this purpose have been subject to adequate and effective public consultation.</p> <p>4.4.1.2 c) Option 2: HCVA assessment should be undertaken using the existing guidance e.g. HCV Toolkit. The assessors should be recognized by RTRS or the HCV network.</p> <p>4.4.2 Traditional land users will provide reasonable proof that they have been exercising use or access rights on the area of the property over the 10 years prior to May 2009.</p> <p>Definition of native forest: areas of native vegetation of 1ha or more with canopy cover of more than 35 % and where some trees (at least 10 trees per</p>

Criterion	Guidance
	<p>hectare) reach 10m in height (or are able to reach these thresholds in situ (ie. in that soil/climate combination)).</p> <p>There is not a unified and official definition of the Forest in China. According to the definition of Forest Coverage in “Main Technical Regulations of National Forest Resource Continuous Inventory” issued by State Forestry Administration, it clearly explains that the definition of forest in China practically includes Forest Land and Shrub Forests specified by the State.</p> <p>Auditors have to consider the broader definition of Forests and Forest Land that applies in China: The woodland which has a continuous area of more than 0.067hm² and canopy density above 0.20, attached with forest vegetation, including arboreal forest, mangrove forest and bamboo forest.</p> <ul style="list-style-type: none"> - Arboreal forest: woodlots or belted forests composed by arbor species. The number of forest rows should be more than two, and the row spacing should be no more than 4 meters or the width of forest crown’s horizontal projection should be more than 10 meters. Also include the forest originated in plantation has a canopy density less than 0.20 but stable growth (3-5 years after artificial afforestation or 5-7 years after sowing) with a survival rate more than 80%. - Mangrove forest: the forests grow in tropical and subtropical coast intertidal or the river estuaries where the ocean tide could reach, attached with mangrove plants or other species has similar characteristics in morphology and ecology. - Bamboo forest: the woodland attached with bamboo plants of diameter over 2cm. <p>At present, each province of China has detailed forest resource database. The local forest authorities could draw up forest maps based on the information from the database. Local forest authorities could provide local forest maps. The provincial Forest Inventory and Planning Institute could provide the forest maps for the province.</p> <p>Data capture requirements for future Payment for Environmental Services (PES) schemes: The date of registration of the producer for certification is recorded by the certification body. During the certification audit, the area and type of vegetation of all voluntary reserves of native vegetation (above the legal requirement) are recorded. Following certification, details of the date of registration for certification and the area and type of vegetation of voluntary reserves are added to an RTRS register. When an RTRS PES scheme is developed, payments are available retroactively to the date of registration for certification to all producers on the register.</p>
4.5	<p>The map and plan should be appropriate to the size of the operation.</p> <p>In group certification the group manager can maintain the map centrally and can be responsible for maintaining and developing a plan for conservation.</p> <p>Guidance for the entire criterion: According to the regulations of the People’s Republic of China on wild plants protection and List of Wild Plants of National Priority Protection, the wild soy needs to be considered and protected and the Law of the People’s Republic of China on Wild plant Protection shall be observed.</p>

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	<p>Wild soybean shall not, according to the aforementioned law, be influenced and destroyed within and in the adjacent of the protected areas. Near the planting areas, protection activities shall be taken, in accordance with relevant laws and regulations, towards wild plants (reference to Law of the People's Republic of China on Wild plant Protection), forests (reference to Law of the People's Republic of China on Forest), wetland (reference to Wetland Protection Regulation), and grassland (reference to Law of People's Republic of China on Grassland).</p> <p>Wild soybean samples can be sent to Seed resource pool (Gene Bank) (see also Annex 8).</p>
5.1	<p>5.1.1 Provide related knowledge, training and guidance to workers. Records of a training plan should be kept.</p> <p>5.1.2 The water monitoring needs to be done on yearly basis, including the following items:</p> <ul style="list-style-type: none"> - Annual Report on Water Quality Assessment - Analysis of Water Quality <p>The monitoring indicators could be the following: water pH, temperature, dissolved oxygen, turbidity and electrical conductivity.</p> <p>5.1.2 Where there are wells these should be used to monitor ground water. To build up a new well, impact assessment, advice and approval from local authorities is needed.</p> <p>5.1.4 When using irrigation, attention should be paid to other potential uses such as household use or use by other food crops and if there is a lack of water priority should be given to human consumption.</p> <p>When use Irrigation, the use of it shall be aligned with national standards for irrigation and an irrigation use record shall be maintained.</p>
5.2	<p>Additional Guidance:</p> <p>Producers should comply with national law and regional policy for natural habitat protection and water resource protection, regardless the scale of the operation.</p> <p>The related and applicable laws are:</p> <p>Regulation on Nature Protection Area, Regulation on Waterway Administration, Regulation on Water Resource Administration, Law of the People's Republic of China on Environment Protection.</p>
5.3	<p>5.3 The producer shall Identify the most appropriate techniques to maintain soil quality and minimize soil erosion.</p> <p>Techniques to maintain soil quality may include:</p> <ul style="list-style-type: none"> • Conservation agriculture • Crop rotation and intercropping • Balanced fertilization <p>Techniques to control soil erosion may include:</p> <ul style="list-style-type: none"> • Management of on-farm roads • Management of sloping areas • Zero tillage (no-till farming) <p>The producer shall Identify appropriate indicators for monitoring which need to be based on the key issues according to production type and region. Any monitoring indicators chosen should be the most straightforward and give</p>

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	<p>good information. The indicators may include: Analysis of organic matter, total nitrogen (N) (total N can be estimated as 5% of organic matter), phosphorous (P), pH, electrical conductivity, measurement of surface residues (quality and quantity 30 days before the mean sowing date with a tolerance of ± 10 days).</p>
5.4	<p>Surface and ground water includes lakes, rivers, lagoons, marshes, swamps, ground water sources, aquifers/water tables.</p> <p>Take into account scale and context especially for small farms – this relates to both the level of ICM expected and the records maintained.</p> <p>5.4.2 The parameters that are monitored include the number of applications of phytosanitary products per crop cycle, volume of phytosanitary product used per hectare and toxicological class of product.</p> <p>5.4.2 The level of potential harmfulness of a phytosanitary product can be determined from its WHO class for the purposes of this criterion.</p> <p>In order to select agrochemicals the producers should follow four steps:</p> <ol style="list-style-type: none"> 1) The agrochemical shall be officially registered. The use of banned agrochemicals is prohibited. 2) The selected agrochemicals, when it is possible, will have the least impact on populations, beneficial organisms and environment. 3) Agrochemicals should be used at the best time which is supported by the plants protection forecasting techniques; 4) When selecting agrochemicals, it should be considered that repeated use of certain agrochemicals can create resistance in pests and pathogen. <p>5.4.2 Where targets are not met, documented evidence is presented to justify this.</p> <p>5.4.3 The application of agrochemicals shall be guided by qualified technicians and records shall be kept with the name of the people that guides the use of agrochemicals.</p> <p>Manager of Group certification for small holders might need to seek support from local government extension center or NGOs to support ICM program for group members.</p> <p>5.4.4 Both local and national legislation should be taken into account.</p>
5.5	<p>For all the Criterion: For Group Certification, the Group manager provides training and guidance to small farmers to ensure their operations are also in line with government laws on waste control, e.g. 《 Law of the People's Republic of China on Quality and safety of Agricultural Products 》 .</p> <p>5.5.1 Records are maintained for at least 5 years. This does not apply to records from years prior to certification.</p> <p>5.5.1 Scale and context, especially for small farms, should be taken into account. Exceptions (e.g. for maintaining invoices) may be allowed for small farms in a group, provided that the group has a mechanism for assuring compliance with the criterion.</p> <p>5.5.2 Washing of containers should be carried out using triple rinsing principles (including re-use of the rinse water in the tank mix) or using high-pressure techniques associated with mechanical application. Producers shall comply also with the relevant national or local directive to container storage, handling and destruction.</p> <p>Main applicable Law: Law of the People's Republic of China on Environmental</p>

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	<p>Protection; Regulation of the People's Republic of China on Agro-chemical Administration (No. 216 State Council) (2011 modified version).</p> <p>5.5.3 Areas used for the storage and distribution of agrochemicals, flammable and toxic substances are designed, constructed and equipped to reduce the risks of accidents and negative impacts on human health and the environment. Transportation of chemicals shall comply with local regulations to prevent leaks or other accidents.</p> <p>Main applicable laws: Administration Bylaw on Transporting Dangerous Items on Road, Administration Bylaw on Dangerous Chemicals, Security Regulation on Internal Transportation within Industrial Enterprises' Plants, Law of the People's Republic of China on Prevention and Control of Environment Pollution by Solid Wastes.</p> <p>5.5.4 In case of group certification the group managers need to provide the appropriate guidance to farmers to prevent any person of entering in the production areas where chemicals were applied.</p>
5.7	<p>Additional guidance for indicator 5.7.1:</p> <p>1) The allowed biological control agents in China are the products registered or licensed by the government, and only for the specified scope and objectives of their registration.</p> <p>2) Producers shall not use the biological control agents which are not allowed in a certain consumption area or the approved list of the China government.</p> <p>Under the Directive of Pesticide Management, the Ministry of Agriculture is responsible for approving all the biological related production. The information is available from www.chinapesticide.gov.cn.</p> <p>Users of pesticides (including biological control agents) should follow strict rules regarding: dose, target, approach, application period and precautions, which are prescribed in the product label. (Implementation Regulation on the Agro-Chemical Administration Bylaw. (Modified according to No.9 Act, Ministry of Agriculture, 8 December, 2007).</p> <p>5.7.2 Producers should record the use of biological control agents, including the batch or number. Records of use of biological control agents should be used as evidence of compliance with this criterion. No exception applies to small producers.</p>
5.8	<p>Guidance for all the criterion: In case of group certification the group manager needs to provide guidance to the group, and some information can be found at: www.caas.net.cn/caasnew/sjk/53475.shtml</p> <p>5.8.2 Producers need report to local agricultural division through existing communication system set up by local government.</p> <p>Related laws: According to Article 2, Bylaw of the People's Republic of China on Plant Quarantine (issued on January 3, 1983 by State Council, modified and issued in accordance with State Council's Resolution on Modifying Bylaw of the People's Republic of China on Plant Quarantine on May 13, 1992). Superintending agricultural departments and forestry department under State Council are in charge of plant quarantine work in China. Superintending agricultural departments and forestry departments in provinces, autonomous regions and municipalities are in charge of plant quarantine work in local areas.</p>

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5.9	<p>5.9.1 Factors that influence drift include among others wind speed and direction, temperature, equipment utilized and topography,</p> <p>5.9.1 and 5.9.2 Requirements for small farms should be appropriate to scale and context. In case of group certification, the group manager shall provide the program guide.</p> <p>Please refer to 1.3 about fertilizer guideline and regulations, No. 199 Notice of the People's Republic of China Ministry of Agriculture announced (National Forbidden Agro-chemicals), No. 322 Notice of the People's Republic of China Ministry of Agriculture, and No. 1586 list of the People's Republic of China Ministry of Agriculture on National Forbidden Agro-chemicals</p> <p>According to the aforementioned applicable Laws,</p> <ul style="list-style-type: none"> - Agrochemicals should be registered according to "Administrative Regulation on Agrochemical Registration". -After registration, agrochemicals shall be applied according to "General Guideline for Agrochemical Safety Application NYT 1276-2007", which stipulated requirements on safety protection and safety operation (selection, purchase, preparation and application) when people use agrochemicals. Fertilizer should be registered according to "Administrative Regulation on Fertilizer Registration". After registration, fertilizer shall be applied according to "General Guideline for Fertilizer Reasonable Application NYT 496-2010", which stipulated requirements on safety protection and safety operation (selection, purchase, preparation and application) when people use agrochemicals. <p>The producers shall inform any population, or people that live in windward side of less than one kilometer away informed about spraying time, varieties, measurement and etc. via communication tools such as telephone, radio etc. The applicable law regarding agrochemicals applications are:</p> <p>Bylaw of the People's Republic of China on Agrochemical Administration (No. 216 Order of State Council) (modified version in 2001), which applies to agrochemical production, business and application in China, and stipulates requirements on "agrochemical registration", "agrochemical production", "agrochemical business", "agrochemical application" as well as "miscellaneous" and "punishment".</p> <p>5.9.1 and 5.9.2 For group certification of small farms - group managers may provide documented procedures as part of the ICS and request producers of the group to keep records of weather conditions.</p> <p>5.9.4 For more information on WHO, visit www.who.int</p> <p>5.9.5: There may be an exception for manual application of chemicals not classified as WHO Ia, Ib, or II, if adequate measures are taken to prevent drift (e.g. use of backpack applicators with shields) and it is permitted by the law and manufacturer's recommendations.</p>
5.10	<p>Guidance for the entire criterion: Currently (year 2013) the indicator 5.10.1 is not applicable in China, as there is clear policy that no GM soy is allowed in China production. However auditors are requested to update this information before carrying out any certification and or surveillance assessment. They are also required to inform the RTRS if GM-soy is introduced in China for its production.</p> <p>If a change in soybean production practices is introduced which could impact on neighboring production systems, it is the responsibility of the producer</p>

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	making the change to implement a buffer strip of 30 m (e.g. in areas where production is generally GM, it is the responsibility of an organic or non-GM farmer to maintain the buffer around his own production. In areas where production is mainly non-GM or organic, a farmer planting GM or using chemicals should maintain a buffer).
5.11	<p>Guide for 5.11: Article 27&28&29, Chapter IV, Seed Law of People's Republic of China, the legal purchasing sources for the seed acquisition are the following:</p> <ol style="list-style-type: none"> 1. Farmers propagate conventional seeds for themselves. They are allowed to sell, exchange those remaining seeds at trade markets without seed business licenses, following administration measures formulated by the people's governments in provinces, autonomous regions or municipalities directly under the Central Government. 2. Scientific research institutes, universities, and academics & technologists are encouraged and supported to research, develop, disseminate new agriculture varieties and premium tree varieties, as well as run business according to regulations in this regard. 3. Entities or private persons, who have acquired a valid seed business license <p>Relevant documentations shall be provided which includes "Seed Production License", "Seed Operation License", "Seed Quality Certificate", and "Plant Quarantine Certificate".</p>

Annex 2: List of Acronyms

GM	Genetically Modified
HCV	High Conservation Value
HCVA	High Conservation Value Area
ICM	Integrated Crop Management
ILO	International Labour Organization
ITG	International Technical Group
NGO	Non Governmental Organization
NI	National Interpretations
NTG	National Technical Group
NTWG	National Technical Working Group
P&C	Principles and Criteria
PES	Payments for Environmental Services
RTRS	Round Table on Responsible Soy
SA8000	Social Accountability International (SAI) international standard on workers' rights, working conditions and management systems.
WHO	World Health Organization

Annex 3: Glossary of Terms

Big Producers	When production unit goes beyond a family household, where labor sources are mainly employees or group members, and the farming land is over 20 hectares.
Biological Control	A method of controlling pests that relies on predation, parasitism, herbivory, or other natural mechanisms, rather than agrochemicals.
Criteria	The 'content' level of a standard. Conditions that need to be met in order to achieve a Principle.
Continual Improvement	The on-going process of improving performance through establishment of objectives, the use of monitoring, audit findings and management reviews; analyzing information and implementing corrective and preventive actions.
Endemic species	A species which is found exclusively in a particular region or location and not found naturally anywhere else.
The Equator Principles	A financial industry benchmark developed by private sector banks for determining, assessing and managing social and environmental risk in project financing. The Principles apply to all new project financings globally with total project capital costs of US\$10 million or more, and across all industry sectors.
The Equator Principles' Social and Environmental assessment	An assessment that determines the social and environmental impacts and risks (including labour, health, and safety) of a proposed project in its area of influence. It is an adequate, accurate and objective evaluation and presentation of the issues, whether prepared by the producer, consultants or external experts. The Assessment should also propose mitigation and management measures relevant and appropriate to the nature and scale of the proposed project. See Principle 2 and Exhibit II of the Equator Principles at www.equator-principles.com for further details.
Forest	See Native forest
Household Responsibility System	It refers to the land being collectively owned by villages and leased to local resident households. The area of acreage every household can lease depends on the number of people in a household, and as well as the average land area per capita in this region.
Household Contracted Land	It refers to the land rented by a household under the Household Responsibility System, who enjoys rights of land usufruct and land subcontract, conducts independent activities, and receives compensations if the land is confiscated or appropriated in accordance with law. At the same time, Household members are supposed to exclusively conduct agricultural practice on the contracted land in an appropriate approach, not leading to permanent harm to the land. (Chapter II, Article 16 & 17, Law of the People's Republic of China on Contracting of Rural Land)

High Conservation Value Areas	<p>High Conservation Value Areas are critical areas in a landscape which need to be appropriately managed in order to maintain or enhance High Conservation Values (HCVs). There are six main types of HCV Area. Based on the definition originally developed by the Forest Stewardship Council for certification of forest ecosystems, but now increasingly expanded to apply to other credible assessments of other ecosystems.</p> <p>HCV1. Areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia).</p> <p>HCV2. Globally, regionally or nationally significant large landscape-level areas where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.</p> <p>HCV3. Areas that are in or contain rare, threatened or endangered ecosystems.</p> <p>HCV4. Areas that provide basic ecosystem services in critical situations (e.g. watershed protection, erosion control).</p> <p>HCV5. Areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).</p> <p>HCV6. Areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).</p>
Indicators	The 'operational' level of a standard expressed in measurable statements which allow assessment of conformance.
Indirectly employed workers	<p>Workers indirectly employed on the farm refers in this standard to employees of service providers who carry out services directly related to the production process.</p> <p>Further definition of those '<i>services directly related to the production process</i>' should be carried out by national interpretation processes.</p>
Integrated Crop Management	A system of crop production which conserves and enhances natural resources while producing a crop on an economically viable and sustainable foundation. A whole-farm, long-term strategy incorporating both new technologies and traditional knowledge and practices. See Annex 5 for further details.
Local Communities	Groups of people and families legitimately living or working on or near to the property to be certified, or between properties in case of multiple or group certification, and influenced by or influencing the activities of the property.
Minimum wage standard	Refers to the minimum wage or payment that employers shall pay, on the precondition that employees have fulfilled "their normal work" during legal working days or contracted working days.
Native forest	Areas of native vegetation of 1 ha or more with canopy cover of more than 35 % and where some trees(at least 10 trees per hectare) reach 10m in height (or are able to reach these thresholds in situ (ie. In that soil/climate combination)) (see also definition of Native Forest in China).
New or Risk infrastructure	These could be considered (at individual producer level or group level) storage areas, processing plants, bridges, wells and dams.

No-tillage	A way of growing crops from year to year without disturbing the soil through ploughing. Also known as direct drilling, zero tillage and conservation tillage.
Pesticides	Pesticides includes herbicides, fungicides, rodenticides and insecticides.
Phytosanitary products	Agrochemicals used for controlling pests and weeds including herbicides, fungicides and pesticides.
Principles	The 'intent' level of the standard, expressed in fundamental statements about a desired outcome.
Sharecroppers	A type of tenant farmer who is allowed by the owner to use the land in return for a share of the crop produced on the land.
Services directly related to the production process	These are, but not limited to, e.g. land preparation, sowing, crop protection, irrigation, monitoring and field management, harvesting, storage, etc.
Small Producers	Household family, where labor sources are mainly from family members, and the farming land is below 20 hectares.
Standard	Standards are documents containing technical specifications or other precise criteria which are used as rules, or guidelines and form the requirements to be met.
Timely Manner	Is defined as a reasonable time period that producers require to deal with complaints, grievances or doubts according to their degree of seriousness and/or complexity. For this reason the time period to deal with complains has to be defined by the producer or in the case of the Group certification by the Group Manager.
Traditional land users	Communities (or individuals where population is very sparse) that have been exercising use or access rights on the property being certified for an extended period of time.
Wetlands	Areas of marsh, fen, peatland, or water - whether natural or artificial, permanent or temporary- with water that is static or flowing, brackish or salt (Ramsar convention)
Workers	Where used in this document 'workers' includes permanent, temporary and seasonal workers and sharecroppers
Zoning	The classification of allowable or preferred land use

Annex 4: RTRS Approach to Responsible Conversion

There will be two phases:

- For the short term, an interim approach will be used. This is set out in criterion 4.4 of the RTRS Standard for Responsible Soy Production Version 1.0.
- For the medium term, the RTRS will develop official RTRS approved macro-scale maps which will provide biodiversity information and a system which will orient responsible expansion of RTRS soy. This work will be carried out as described below and should be completed before 31st December 2012 for Argentina, Brazil, Bolivia and Paraguay.

RTRS-approved maps and System

1. Summary

National level macro-scale maps will be created through a multi-stakeholder process, which will provide guidance on responsible expansion. These maps will indicate four categories of area:

- Category I Areas = areas which are critical for biodiversity (hotspots), where stakeholders agree there should not be any conversion of native vegetation to responsible soy production.
- Category II Areas = areas with high importance for biodiversity where expansion of soy is only carried out after an HCVA assessment which identifies areas for conservation and areas where expansion can occur.
- Category III Areas = areas where existing legislation is adequate to control responsible expansion (usually areas with importance for agriculture and lower conservation importance).
- Category IV Areas = areas which are already used for agriculture and where there is no remaining native vegetation except legal reserves and so no further expansion is occurring.

Guidance will also be produced on how to undertake the HCVA assessments required for expansion in Category II areas.

2. Development of generic global methodology

2.1 RTRS will convene an international multi-stakeholder group to develop the generic global methodology to be used to develop the national macro-scale maps.

- a) The group should include representatives of each RTRS constituency and country.
 - i. Note: the group should aim to include 1 person per constituency from each of Argentina, Brazil, Bolivia and Paraguay plus at least 3 representatives (1 representative per constituency) from other main soy producing countries.
- b) The group should include technical experts.
- c) The group should work by consensus.

2.2 The group will review existing methodologies and produce a methodology for the RTRS which addresses:

- a) The minimum criteria which need to be considered in developing national maps.
- b) The important data layers which should be included and other optional layers.
- c) Possible sources of data which should be used.
- d) Develop criteria on how to assign different categories.
- e) Any other necessary issues.

2.3 The group will review existing methodologies for undertaking on-farm HCVA assessments required for farms in Category II areas and develop generic guidance for RTRS.

3. Production of national macro-scale maps

3.1 Establish a national multi-stakeholder group in each country (as a sub-group of the RTRS National Technical Group) to oversee the map development process. The group should include both representation of each RTRS constituency and technical expertise.

Note: for Argentina, Brazil, Bolivia and Paraguay this group will include the 3 national members of the global multi-stakeholder group.

3.2 The national multi-stakeholder group interprets the global methodology and agrees on the work to be undertaken at a national level including:

- a) National interpretation of criteria to be used.
- b) Sources of information and data to be used including all official maps, conservation maps etc which provide consistent information including sub-national maps.
- c) Definitions of important areas for conservation and for agricultural expansion in the country.
- d) Any additional information required.
- e) Agreement on criteria for assignment of categories.
- f) Any other issues.

3.3 A technical group is assigned to undertake the mapping in line with the national level guidance developed by the multi-stakeholder group.

3.4 The multi-stakeholder group reviews the maps and agrees on the mapping of the categories.

3.5 The multi-stakeholder group reviews the generic methodology for on-farm HCVA assessments for expansion in Category II areas and produces a national version.

3.6 The national map and methodology, once agreed by the national multi-stakeholder group, is submitted to the RTRS National Technical Group for approval and once approved is submitted to RTRS for endorsement.

4. Implementation

Once national maps and methodologies are endorsed they replace any interim approach to managing responsible expansion.

Annex 5: Integrated Crop Management (ICM) Measures and Practices in Soy Production

The approach of RTRS towards Integrated Crop Management (ICM) is the voluntary adoption of an increasing number of ICM measures and sub-measures over time, according to a plan that is devised with professional guidance, which in the case of group certification may be provided by the group manager to individual group members. The table below presents a non-exhaustive list of measures and practices that can be used in the development and auditing of the ICM plan developed by the producer or producer group.

Measure	Practices
1. Prevention	1a. Conservation tillage (including zero tillage, zero tillage sowing, contour ploughing, etc.) 1b. Mechanical control practices to prevent weed seeds from germinating or spreading 1c. Maintaining vegetative or residue soil cover in between crops 1d. Crop rotation (including 1c.) 1e. Choice of seed variety: choose resistant variety against the main pest 1f. Monitor and record harmful and beneficial organisms 1g. Buffer zones and refuges for biodiversity (for example hedges, riparian vegetation, etc.)
2. Technical measures for cultivation	2a. Sowing date / timing 2b. Scouting in field to assess damage-threshold for all pests (proven by daily record keeping) 2c. Use of fertilizer with evidence of need provided by professional soil/fertilization specialist 2d. Manual weed removal / intercultural operations 2e. mechanical weed removal / intercultural operations which are not detrimental to soil structure, organic matter content or other soil and water values
3. Systems for early warning and advise	3a. Use of weather information to determine applications 3b. Use of pest traps 3c. Use of decision support systems or manuals 3d. Use of warning systems or services for pests and diseases such as soy bean rust
4. Non-chemical crop protection	4a. Use of naturally occurring beneficial insects by maintenance of buffer zones / natural vegetation 4b. Use of biological control agents 4c. Use of crop protection substances of natural origin 4d. Use of inoculants (symbiotic bacteria) to promote Nitrogen uptake
5. Chemical crop	5a. Rotation of active ingredient

Measure	Practices
protection and application techniques	<p>5b. Application of phytosanitary products only when the economical damage threshold is exceeded</p> <p>5c. Use of selective and low human toxicity and low ecotoxicity phytosanitary products</p> <p>5d. Use of narrow spectrum phytosanitary products</p> <p>5e. Use of spot wise / precision application</p>
6. Emission reduction	<p>6a. Use of adequate and well calibrated equipment</p> <p>6b. Spray-free zone towards principal water courses in accordance with professional agrochemical specialist's advice</p> <p>6c. In the use of aerial spraying there is no application where a temperature inversion or other unfavorable meteorological condition (high wind speed, etc.) occurs.</p>

Annex 6: List of applicable Laws in China

1. General Principles of the Civil Law of the People's Republic of China
2. Property Law of the People's Republic of China
3. Agriculture Law of the People's Republic of China
4. Law of the People's Republic of China on Adolescent Protection, article 28
5. Law of the People's Republic of China on Quality and Safety of Agricultural Products
6. Law of the People's Republic of China on Contracting of Rural Land
7. Law of the People's Republic of China on Land Administration
8. Law of the People's Republic of China on Labor Contract. Chapter II, articles 7&10. Articles 68, 69, 70, 71 y 72.
9. China Labor Law, Directive N°48 and Articles 3, 6 and 7 under the Law of the Provision on Minimum Salary.
10. Seed Law of the People's Republic of China. Chapter IV, Articles 27 & 28 & 29.
11. Law of the People's Republic of China on Environment Protection
12. Law of the People's Republic of China on Prevention and Control of Environmental Pollution by Solid Wastes.
13. Law of the People's Republic of China on Wild Animal Protection
14. Bylaw of the People's Republic of China on Wild Plants Protection
15. Bylaw of the People's Republic of China on Plant Quarantine (issued on January 3, 1983 by State Council, modified and issued in accordance with State Council's Resolution on Modifying Bylaw of the People's Republic of China on Plant Quarantine on May 13, 1992). Article 2.
16. Provision of the People's Republic of China on Agricultural Wild Plants Protection
17. Law of the People's Republic of China on Environment Influence Assessment, Chapter II: Articles 7&8. Chapter III, Article 19.
18. Law of People's Republic of China on Air Pollution
19. Law of People's Republic of China on Water Pollution
20. Law of People's Republic of China on Wildlife Protection
21. Law of the People's Republic of China on Forest
22. Wetland Protection Regulation
23. Regulation of the People's Republic of China on Agro-chemical Administration (No. 216 State Council) (2011 modified version).
24. Related Fertilizer's use: Notice of the People's Republic of China Ministry of Agriculture announced (National Forbidden Agro-chemicals) N°199. Notice of the People's Republic of China Ministry of Agriculture N°322. List of the People's Republic of China Ministry of Agriculture on National Forbidden Agro-chemicals, N°1586.
25. Law of People's Republic of China on Grassland
26. Trade Union Law of the People's Republic of China. Chapter I, Article 2
27. Law of the People's Republic of China on Specialized Farmers Cooperatives. Chapter I, Article 2.

- 28. Provision on Fertilizer Registration Administration
- 29. Provision of the People's Republic of China Pesticides Administration

Annex 7: Possible Indicators for producers suggested by the Chinese National Technical Group

Y: year

1. Number of complaints and grievances received from Y1 to Y5

2. Usage of fossil oil

e.g of the record of fossil oil consumption

	Y 1	Y 2	Y3	Y4	Y5
Gasoline					
Diesel fuel					

3. Usage of agrochemicals

e.g. of the record of the use of agrochemicals and fertilizers

		Y 1	Y 2	Y3	Y4	Y5
Pesticides	Low toxicity (LD50>501 mg/kg)					
	Medium toxicity (101 mg/kg<LD50<500 mg/kg)					
	High toxicity (LD50<100 mg/kg)					
Fertilizers	Organic fertilizer					
	Bio-fertilizer					
	Inorganic fertilizer					

Annex 8: Wild-soybean Conservation in China

Wild soybean originated in China, which holds 90% of the distribution of wild soybean resources and mainly concentrated in the Northeast region. To date, national gene bank is the largest gene bank worldwide with more than 6,500 species of wild soybean.

Wild soybean is an annual herb and grows in moist river channels, next to lakes, sparse sapling woodland, often with the reed, small shrubs and other associated. Wild soybean in the long process of natural selection contains a large number of high-yield, high-quality protein, vitamins, resistant to insect pests, drought, cold, saline-alkali and other excellent genes. Wild soybean is an important biological material, especially for cultivating high-quality, high yield, efficient non-transgenic soybean varieties, improving the yield and quality and ensuring food and ecological security.

Wild soybean is recorded since August 4, 1999 this announcement was done by the State Council, and officially approved the "national key protected wild plants", that must be in accordance with the "National Regulations on Protection of Wild Plants, " to be protected. Annex 3 "of the National Regulations on Protection of Wild Plants"(September 30, 1996 the China State Council Order No. 204) and Annex 4, Annex 5 "national key protected wild plants (first batch)"(1999 On September 9 the State Forestry Administration, Ministry of Agriculture Order No. 4)

Guidance for protecting wild soybean:

1. Act in line with National Regulations on Protection of Wild Plants
2. Set up protect areas for wild soybean according to national regulations and law.
3. Send samples of wild soybean to National Gene Bank.

Annex 9: Progressive Entry Level Approach for China

1. Introduction

In order to involve a broader range of producers into the P&C certification scheme, RTRS developed a progressive entry level that includes a continuous improvement approach. All the indicators of the P&C were weighted to categorize them by their relevance, having into account: the opinion of the three constituencies of RTRS, other sustainability certification schemes approach to similar issues, analysis of evidence gathered during the field tests period, small farmers inclusion, international legislation, to determine a realistic, credible and pragmatic approach of the RTRS scheme.

2. Classification of the indicators within each criteria

The RTRS has classified the indicators in 3 different categories: See content of table below

Category
Immediate Compliance Indicators
Short - Term Compliance Indicators
Mid- Term Compliance Indicators

3. Progressive approach

- The first year of the initial certification assessment: A producer will be granted with a positive certification decision when he meets all the indicators that were classified in this document as "immediate compliance indicators". This represents approximately a compliance with the 58% of the RTRS standard.
- After one year from the date of the initial certification assessment (first annual surveillance assessment) the producer shall meet in addition all the short term compliance indicators. This represents approximately a compliance with the 85% of the RTRS standard.
- After 3 years from the date of the initial certification assessment: the producer shall comply with 100% of the indicators (immediate + mid-term + short term compliance indicators). The compliance of all the indicators will be assessed against the classification of majors and minors stated in the accreditation and verification system.

56 immediate compliance indicators	42 Short or mid-term indicators	58% of the total of the indicators	
56 immediate compliance indicators	27 short-term indicators	85% of the total of the indicators	
56 immediate compliance indicators	27 short-term indicators	15 mid- term indicators	100% of the total of the indicators
Preparation period Prior to certification	Initial Certification	After 1 year from initial certification	After 3 years

1. National Interpretation of the Classification.

The current approach was considered based on the RTRS Principles and Criteria Indicators and the Chinese legislation. Where the Chinese legislation requires the compliance with one indicator that under the RTRS general approach is considered a short or mid-term compliance indicator, this indicator is categorized as an immediate compliance indicator in China.

The National Technical Group of China found the following indicators as legal obligations, therefore those became into Immediate Compliance Indicators.

Indicators	National Legislation Reference
2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written contract, in a language that they can understand.	Chapter II: Article 7 &10 under Law of the People's Republic of China on Labor Contract Exception: Oral agreement is applicable to both temporary labor work relationship and seasonal labors for less than 30 days according to Article 68,69,70,71 & 72 under Law of the People's Republic of China on Labor Contract).
4.5.2 There is a plan, which is being implemented, to ensure that the native vegetation is being maintained (except areas covered under Criterion 4.4)	Law of the People's Republic of China on Wild plant Protection (For Wild Soya)
5.1.4 Where irrigation is used, there is a documented procedure in place for applying best practices and acting according to legislation and best practice guidance (where this exists), and for measurement of water utilization.	Regulation on Waterway Administration, Regulation on Water Resource Administration, Law of the People's Republic of China on Environment Protection.
5.7.1 There is information about requirements for use of biological control agents.	In China this is allowed an commonly used under "The Directive of Pesticide Management"
5.11.1 All purchased seed must come from known legal quality sources.	Article 27&28&29, Chapter IV, Seed Law of People's Republic of China. There are 3 legal sources of Seed in China

1. National Classification and references:

56 Indicators	Immediate Compliance Indicators
27 Indicators	Short-term Compliance indicators (1 year)
15 Indicators	Mid-term minor Compliance Indicators (3 years)
	Not applicable (in the counting)

Principle	Criteria	Indicator	Weight
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Principle 1 : Legal Compliance and Good Business Practice	1.1 There is awareness of, and compliance with, all applicable local and national legislation.	1.1.1 Awareness of responsibilities, according to applicable laws can be demonstrated.	
		1.1.2 Applicable laws are being complied with.	
	1.2 Legal use rights to the land are clearly defined and demonstrable.	1.2.1 There is documented evidence of rights to use the land (e.g. ownership document, rental agreement, court order etc.).	
	1.3 There is continual improvement with respect to the requirements of this standard.	1.3.1 A review process is carried out which identifies those social, environmental and agricultural aspects of the operation (on and off farm) where improvement is desirable.	
		1.3.2 A number of indicators are selected and a baseline is established to be able to monitor continual improvement on those aspects where desired improvements have been identified.	
		1.3.3 The results of monitoring are reviewed and appropriate action is planned and taken when necessary to ensure continual improvement.	
Principle 2: Responsible Labour Conditions	2.1 Child labour, forced labour, discrimination and harassment are not engaged in or supported.	2.1.1 No forced, compulsory, bonded, trafficked or otherwise involuntary labour is used at any stage of production.	
		2.1.2 No workers of any type are required to lodge their identity papers with anyone and no part of their salary, benefits or property is retained, by the owner or any 3rd party, unless permitted by law.	
		2.1.3 Spouses and children of contracted workers are not obliged to work on the farm.	
		2.1.4 Children and minors (below 18) do not conduct hazardous work or any work that jeopardizes their physical, mental or moral well being.	
		2.1.5 Children under 15 (or higher age as established in national law) do not carry out productive work. They may accompany their family to the field as long as they are not exposed to hazardous, unsafe or unhealthy situations and it does not interfere with their schooling	
		2.1.6 There is no engagement in, support for, or tolerance of any form of discrimination.	

		2.1.7 All workers receive equal remuneration for work of equal value, equal access to training and benefits and equal opportunities for promotion and for filling all available positions.	
		2.1.8 Workers are not subject to corporal punishment, mental or physical oppression or coercion, verbal or physical abuse, sexual harassment or any other kind of intimidation.	
	2.2 Workers, directly and indirectly employed on the farm, and sharecroppers, are adequately informed and trained for their tasks and are aware of their rights and duties.	2.2.1 Workers (including temporary workers), sharecroppers, contractors and subcontractors have a written contract, in a language that they can understand.	
		2.2.2 Labour laws, union agreements or direct contracts of employment detailing payments and conditions of employment (e.g., working hours, deductions, overtime, sickness, holiday entitlement, maternity leave, reasons for dismissal, period of notice, etc) are available in the languages understood by the workers or explained carefully to them by a manager or supervisor.	
		2.2.3 Adequate and appropriate training and comprehensible instructions on fundamental rights at work, health and safety and any necessary guidance or supervision are provided to all workers.	
	2.3 A safe and healthy workplace is provided for all workers.	2.3.1 Producers and their employees demonstrate an awareness and understanding of health and safety matters.	
		2.3.2 Relevant health and safety risks are identified, procedures are developed to address these risks by employers, and these are monitored.	
		2.3.3 Potentially hazardous tasks are only carried out by capable and competent people who do not face specific health risks.	
		2.3.4 Adequate and appropriate protective equipment and clothing is provided and used in all potentially hazardous operations such as pesticide handling and application and mechanized or manual operations.	
		2.3.5 There is a system of warnings followed by legally-permitted sanctions for workers that do not apply safety requirements.	
		2.3.6 Accident and emergency procedures exist and instructions are clearly understood by all workers.	

		2.3.7 In case of accidents or illness, access to first aid and medical assistance is provided without delay.	
	2.4 There is freedom of association and the right to collective bargaining for all workers.	2.4.1 There is the right for all workers and sharecroppers to establish and/or join an organization of their choice.	
		2.4.2 The effective functioning of such organizations is not impeded. Representatives are not subject to discrimination and have access to their members in the workplace on request.	
		2.4.3 All workers have the right to perform collective bargaining.	
		2.4.4 Workers are not hindered from interacting with external parties outside working hours (e.g. NGOs, trade unions, labour inspectors, agricultural extension workers, certification bodies).	
	2.5 Remuneration at least equal to national legislation and sector agreements is received by all workers directly or indirectly employed on the farm.	2.5.1 Gross wages that comply with national legislation and sector agreements are paid at least monthly to workers.	
		2.5.2 Deductions from wages for disciplinary purposes are not made, unless legally permitted. Wages and benefits are detailed and clear to workers and workers are paid in a manner convenient to them. Wages paid are recorded by the employer.	
		2.5.3 Normal weekly working hours do not exceed 48 hours. Weekly overtime hours do not exceed 12 hours.	
		2.5.4 If additional overtime hours are necessary the following conditions are met:	
		a) It only occurs for limited periods of time (e.g.. peak harvest, planting).	
		b) Where there is a trade union or representative organization the overtime conditions are negotiated and agreed with that organization.	
		c) Where there is no trade union or representative organization agreement the average working hours in the two-month period after the start of the exceptional period still do not exceed 60 hours per week.	
		2.5.5 Working hours per worker are recorded by the employer.	
		2.5.6 Overtime work at all times is voluntary and paid according to legal or sector standards. In case overtime work is needed, workers receive timely notification. Workers are entitled to at least one day off following every six consecutive days of work.	

Principle 3: Responsible Community Relations		2.5.7 Salaried workers have all entitlements and protection in national law and practice with respect to maternity. Workers taking maternity leave are entitled to return to their employment on the same terms and conditions that applied to them prior to taking leave and they are not subject to any discrimination, loss of seniority or deductions of wages.	
		2.5.8 If workers are paid per result, a normal 8 hour working day allows workers, (men and women), to earn at least the national or sector established minimum wage.	
		2.5.9 If employees live on the farm, they have access to affordable and adequate housing, food and potable water. If charges are made for these, such charges are in accordance with market conditions. The living quarters are safe and have at least basic sanitation.	
	3.1 Channels are available for communication and dialogue with the local community on topics related to the activities of the soy farming operation and its impacts.	3.1.1 Documented evidence of communication channels and dialogue is available.	
		3.1.2 The channels adequately enable communication between the producer and the community.	
		3.1.3 The communication channels have been made known to the local communities.	
	3.2 In areas with traditional land users, conflicting land uses are avoided or resolved.	3.2.1 In the case of disputed use rights, a comprehensive, participatory and documented community rights assessment is carried out.	
		3.2.2 Where rights have been relinquished by traditional land users there is documented evidence that the affected communities are compensated subject to their free, prior, informed and documented consent.	
	3.3 A mechanism for resolving complaints and grievances is implemented and available to local communities and traditional land users.	3.3.1 The complaints and grievances mechanism has been made known and is accessible to the communities.	
		3.3.2 Documented evidence of complaints and grievances received are maintained.	
		3.3.3 Any complaints and grievances received are dealt with in a timely manner.	
	3.4 Fair opportunities for employment and provision	3.4.1 Employment opportunities are made known locally.	

	of goods and services are given to the local population.	3.4.2 There is collaboration with training programs for the local population.	
		3.4.3 Opportunities for supply of goods and services are offered to the local population.	
Principle 4: Environmental Responsibility	4.1 On and off site social and environmental impacts of large or high risk new infrastructure have been assessed and appropriate measures taken to minimize and mitigate any negative impacts.	4.1.1 A social and environmental assessment is carried out prior to the establishment of large or high risk new infrastructure.	
		4.1.2 The assessment is carried out by someone who is adequately trained and experienced for this task.	
		4.1.3 The assessment is carried out in a comprehensive and transparent manner.	
		4.1.4 Measures to minimize or mitigate the impacts identified by the assessment are documented and are being implemented.	
	4.2 Pollution is minimized and production waste is managed responsibly.	4.2.1 There is no burning on any part of the property of crop residues, waste, or as part of vegetation clearance, except under one of the following conditions:	
		a) Where there is a legal obligation to burn as a sanitary measure;	
		b) Where it is used for generation of energy including charcoal production and for drying crops;	
		c) Where only small-caliber residual vegetation from land clearing remains after all useable material has been removed for other uses.	
		4.2.2 There is adequate storage and disposal of fuel, batteries, tires, lubricants, sewage and other waste.	
		4.2.3 There are facilities to prevent spills of oil and other pollutants.	
		4.2.4 Re-use and recycling are utilized wherever possible.	
		4.2.5 There is a residue management plan including all areas of the property.	
	4.3 Efforts are made to reduce emissions and increase sequestration of Greenhouse Gases (GHGs) on the farm.	4.3.1 Total direct fossil fuel use over time is recorded, and its volume per hectare and per unit of product for all activities related to soy production is monitored.	

		4.3.2 If there is an increase in the intensity of fossil fuel used, there is a justification for this. If no justification is available there is an action plan to reduce use.	
		4.3.3 Soil organic matter is monitored to quantify change in soil carbon and steps are taken to mitigate negative trends.	
		4.3.4 Opportunities for increasing carbon sequestration through restoration of native vegetation, forest plantations and other means are identified.	
	4.4 Expansion of soy cultivation is responsible.	4.4.1 After May 2009 expansion for soy cultivation has not taken place on land cleared of native habitat except under the following conditions:	
		4.4.1.1 It is in line with an RTRS-approved map and system (see Annex 4.)	
		or	
		4.4.1.2 Where no RTRS-approved map and system is available:	
		a) Any area already cleared for agriculture or pasture before May 2009 and used for agriculture or pasture within the past 12 years can be used for soy expansion, unless regenerated vegetation has reached the definition of native forest (see glossary).	
		b) There is no expansion in native forests (see glossary)	
		c) In areas that are not native forest (see glossary), expansion into native habitat only occurs according to one of the following two options:	
		Option 1. Official land-use maps such as ecological-economic zoning are used and expansion only occurs in areas designated for expansion by the zoning. If there are no official land use maps then maps produced by the government under the Convention on Biological Diversity (CBD) are used, and expansion only occurs outside priority areas for conservation shown on these maps.	
		Option 2. An High Conservation Value Area (HCVA) assessment is undertaken prior to clearing and there is no conversion of High Conservation Value Areas.	
		4.4.2 There is no conversion of land where there is an unresolved land use claim by traditional land users under litigation, without the agreement of both parties.	

Principle 5: Good Agricultural Practice	4.5 On-farm biodiversity is maintained and safeguarded through the preservation of native vegetation.	4.5.1 There is a map of the farm which shows the native vegetation	
		4.5.2 There is a plan, which is being implemented, to ensure that the native vegetation is being maintained (except areas covered under Criterion 4.4)	
		4.5.3 No hunting of rare, threatened or endangered species takes place on the property.	
	5.1 The quality and supply of surface and ground water is maintained or improved.	5.1.1 Good agricultural practices are implemented to minimize diffuse and localized impacts on surface and ground water quality from chemical residues, fertilizers, erosion or other sources and to promote aquifer recharge.	
		5.1.2 There is monitoring, appropriate to scale, to demonstrate that the practices are effective.	
		5.1.3 Any direct evidence of localized contamination of ground or surface water is reported to, and monitored in collaboration with, local authorities.	
		5.1.4 Where irrigation is used, there is a documented procedure in place for applying best practices and acting according to legislation and best practice guidance (where this exists), and for measurement of water utilization.	
	5.2 Natural vegetation areas around springs and along natural watercourses are maintained or re-established.	5.2.1 The location of all watercourses has been identified and mapped, including the status of the riparian vegetation.	
		5.2.2 Where natural vegetation in riparian areas has been removed there is a plan with a timetable for restoration which is being implemented.	
		5.2.3 Natural wetlands are not drained and native vegetation is maintained.	
	5.3 Soil quality is maintained or improved and erosion is avoided by good management practices.	5.3.1 Knowledge of techniques to maintain soil quality (physical, chemical and biological) is demonstrated and these techniques are implemented.	
		5.3.2 Knowledge of techniques to control soil erosion is demonstrated and these techniques are implemented.	
		5.3.3 Appropriate monitoring, including soil organic matter content, is in place.	
	5.4 Negative environmental and health impacts of phytosanitary products are reduced by	5.4.1 A plan for ICM is documented and implemented which addresses the use of prevention, and biological and other non-chemical or selective chemical controls.	

	implementation of systematic, recognized Integrated Crop Management (ICM) techniques.	5.4.2 There is an implemented plan that contains targets for reduction of potentially harmful phytosanitary products over time.	
		5.4.3 Use of phytosanitary products follows legal requirements and professional recommendations (or, if professional recommendations are not available, manufacturer's recommendations) and includes rotation of active ingredients to prevent resistance.	
		5.4.4 Records of monitoring of, pests, diseases, weeds and natural predators are maintained.	
	5.5 All application of agrochemicals is documented and all handling, storage, collection and disposal of chemical waste and empty containers, is monitored to ensure compliance with good practice.	5.5.1 There are records of the use of agrochemicals, including:	
		a) products purchased and applied, quantity and dates;	
		b) identification of the area where the application was made;	
		c) names of the persons that carried out the preparation of the products and field application;	
		d) identification of the application equipment used;	
		e) weather conditions during application.	
		5.5.2 Containers are properly stored, washed and disposed of; Waste and residual agrochemicals are disposed in an environmentally appropriate way.	
		5.5.3 Transportation and storage of agrochemicals is safe and all applicable health, environmental and safety precautions are implemented.	
		5.5.4 The necessary precautions are taken to avoid people entering into recently sprayed areas.	
		5.5.5 Fertilizers are used in accordance with professional recommendations (provided by manufacturers where other professional recommendations are not available).	
	5.6 Agrochemicals listed in the Stockholm and Rotterdam Conventions are not used.	5.6 1 There is no use of agrochemicals listed in the Stockholm and Rotterdam Conventions.	
	5.7 The use of biological control agents is documented, monitored and controlled in accordance with national laws and internationally accepted scientific protocols.	5.7.1 There is information about requirements for use of biological control agents.	
		5.7.2 Records are kept of all use of biological control agents that demonstrate compliance with national laws.	

	5.8 Systematic measures are planned and implemented to monitor, control and minimize the spread of invasive introduced species and new pests.	5.8.1 Where there are institutional systems in place to identify and monitor invasive introduced species and new ones, or major outbreaks of existing pests, producers follow the requirements of these systems, to minimize their spread.	
		5.8.2 Where such systems do not exist, incidences of new pests or invasive species and major outbreaks of existing pests are communicated to the proper authorities and relevant producer organizations or research organizations.	
	5.9 Appropriate measures are implemented to prevent the drift of agrochemicals to neighboring areas.	5.9.1 There are documented procedures in place that specify good agricultural practices, including minimization of drift, in applying agrochemicals and these procedures are being implemented.	
		5.9.2 Records of weather conditions (wind speed and direction, temperature and relative humidity) during spraying operations are maintained.	
		5.9.3 Aerial application of pesticides is carried out in such a way that it does not have an impact on populated areas. All aerial application is preceded by advance notification to residents within 500m of the planned application.	
		Note: 'Populated areas' means any occupied house, office or other building	
		5.9.4 There is no aerial application of pesticides in WHO Class Ia, Ib and II within 500m of populated areas or water bodies.	
		5.9.5 There is no application of pesticides within 30m of any populated areas or water bodies.	
	5.10 Appropriate measures are implemented to allow for coexistence of different production systems.	5.10.1 Measures are taken to prevent interference in production systems of neighboring areas.	
	5.11 Origin of seeds is controlled to improve production and prevent introduction of new diseases.	5.11.1 All purchased seed must come from known legal quality sources.	
		5.11.2 Self-propagated seeds may be used, provided appropriate seed production norms are followed and legal requirements regarding intellectual property rights are met.	

Annex 10: Members of the China National Technical Group

The Chinese NTG gathered 4 times, and an International Public consultation of 60 days in 2013 was organized to gather comments on the draft produced by this NTWG.

National Technical Group Experts list for meetings 1-3

Local Coordinator: An Yan – Solidaridad

Reviewer and RTRS coordinator: Cecilia Gabutti and RTRS Technical Unit

#	First Name	Last Name	Organization	
1	Hai	Nian	Southern China University of Agriculture	Academy
2	Xiao	Feng	Deputy Chief of Northern Agriculture University	Academy
3	Ruzhen	Chang	China Academy of Agricultural Sciences	Academy
4	Junyi	Gai	Academician of China National Engineering Research Institute Professor of Nanjing Agricultural University	Academy
5	Zhongtang	Liu	Researcher of Heilongjiang Academy of Agricultural Sciences	Academy
6	Cunyi	Yang	Agricultural University Of South China	Academy
7	Yuan	Chen	Secretary of the Guangxi Corn Research Institute	Academy
8	Lei	Zhang	The Crop Research Institute of Anhui Academy of Agricultural Sciences	Academy
9	Yingqiu	Dong	Chief, Kedong County, Heilongjiang	Producer
10	Shuhua	Hu	Chief of Agricultural Devision, Kedong County, Heilongjiang	Producer
11	Laoban	Lin	Guangzhou Hua Du San Shui Soybean Factory	Producer
12	Tushun	Hu	Vice-chairman of the CPPCC of Hunan Yongzhou Xintian , Director of Xintian Soybean Project	Producer
13	Guosheng	Zheng	Co-president of Hunan Yongzhou Xintian Fennel and Soybean Cooperative	Producer
14	Hongqin	Zhang	Co-president of Yingde Hengshitang Soybean plant cooperative	Producer
15	Song	Huang	Sichuan Jianyang hui min Ecological Agriculture industrialization Processing Technology	Producer

			Cooperatives Agricultural Products Factory	
16	Shuwen	He	Heihe Soy Cooperative	Small Holder
17	Denggao	Liu	China Soybean Industry Association	Association
18	Lingang	Lu	China Soybean Industry Association	Association
19	Lin	Lin	China Soybean Industry Association	Association
20	Xiqing	Cui	China Soybean Industry Association	Association
21	Yanfang	Su	GTZ China	NGO
22	Xiaoyu	Luo	Solidaridad China	NGO
23	Yan	An	Solidaridad China	NGO
24	Xiaoyu	Luo	Solidaridad China	NGO
25	Feng	Wang	Director General of North Group, Sino-grain	Industry
26	Muchun	Zhang	Chunjiang Oil Group	Industry
27	Feng	Wang	Director General of North Group, Sino-grain	Industry
28	Baojun	Liu	Director of Inner Mongolia Zhalantun City Agricultural Center	Industry
29	Yuefang	Wu	Deputy General Manager of China Grain Reserve Corporation Northern Branch	Industry
30	Baolin	Liu	Director of Grain Reserve Corporation Northern Branch Technology Park	Industry
31	Kegong	Wang	China Grain Reserve Corporation Northern Branch	Industry
32	Haijun	Zhang	SGS China	Certifier
33	Jie	Zhao	China Academy of Forestry	Environment Expert

List of experts of the NTG for 14/5

Local coordinators: Yanan Wang and Rong Wei – Solidaridad

Reviewer and RTRS designated coordinator: Cecilia Gabutti

No.	First Name	Last Name	Organization	Category
1	Dan	Wei	Heilongjiang Academy of Agricultural Sciences	Academic

2	Zhongtang	Liu	Heilongjiang Academy of Agricultural Sciences	Academic
3	Bin	Zhang	Jinxing village Beimeng Tun rich Fumin professional cooperatives	Producer
4	Denggao	Liu	China Soybean Industry Association	Association
5	Shaoqing	Zhen	China Soybean Industry Association	Association
6	Lingang	Lu	China Soybean Industry Association	Association
7	Zhan	Han	Solidaridad Great China	NGO
8	Rong	Wei	Solidaridad Great China	NGO
9	Yanan	Wang	Solidaridad Great China	NGO
10	Feng	Wang	Sinograin Northern Agriculture Development Company Ltd.	Producer
11	Chuanxiong	Dai	Sinograin Northern Agriculture Development Company Ltd.	Producer
12	Dongxiang	Lin	Sinograin Northern Agriculture Development Company Ltd.	Producer
13	Kegong	Wang	Sinograin Northern Agriculture Development Company Ltd.	Producer
14	Haijun	Zhang	SGS China	Certification Group
15	Chunhai	Wang	Heilongjiang Province Agriculture Committee	Government
16	Yuehui	Liu	Nenjiang county agricultural technology extending stations	Government